



JCO6 Rec'd PCT/PTO 04 AUG 2005

Attorney Docket No. 62940 (70904)

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

APPLICANT(S) Nakabayashi, et al. EXAMINER: Not assigned
U.S.S.N.: 10/525,901 ART UNIT: 2811
FILED: February 24, 2005 CONF. NO. 9196
FOR: Pattern formation substrate and method for pattern formation

CERTIFICATE OF MAILING

I hereby certify that this paper (along with any paper referred to as being attached or enclosed) is being deposited with the United States Postal Service with sufficient postage as First Class mail in an envelope addressed to: Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450 on August 1, 2005.

By: 
Helen Murray Tarbi

Commissioner for Patents
P.O. Box 1450
Alexandria, VA 22313-1450

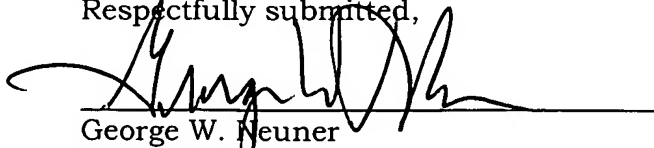
TRANSMITTAL

Enclosed herewith for filing in the subject application are the following:

1. Copy of Filing Receipt with corrections marked in red;
2. Copy of Certificate of Express Mailing;
3. Copy of Express Mailing Label with USPTO stamped receipt;
4. Copy of Transmittal Letter; and
5. Copy of Fee Transmittal.

Date: August 1, 2005

Respectfully submitted,



George W. Neuner
(Reg. No. 28,964)
EDWARDS & ANGELL, LLP
P.O. Box 55874
Boston, MA 02205

Telephone: 617-439-4444
Customer No. 21874



PTO-1390 (Rev. 12-2004)
Approved for use through 03/31/2007. OMB 0651-0021
U. S. Patent and Trademark Office; U.S. DEPARTMENT OF COMMERCE
Under the Paperwork Reduction Act of 1995, no persons are required to respond to a collection of information unless it displays a valid OMB control number.

**TRANSMITTAL LETTER TO THE UNITED STATES
DESIGNATED/ELECTED OFFICE (DO/EO/US)
CONCERNING A SUBMISSION UNDER 35 U.S.C. 371**

ATTORNEY'S DOCKET NUMBER
62940(70904)

U.S. APPLICATION NO. (if known) 37 CFR 1.51

INTERNATIONAL APPLICATION NO.
PCT/JP03/07170

INTERNATIONAL FILING DATE
5 June 2003

PRIORITY DATE CLAIMED
30 August 2002

TITLE OF INVENTION PATTERN FORMATION SUBSTRATE AND METHOD FOR PATTERN FORMATION

APPLICANT(S) FOR DO/EO/US Takaya Nakabayashi et al.

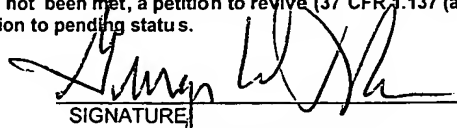
Applicant herewith submits to the United States Designated/Elected Office (DO/EO/US) the following items and other information:

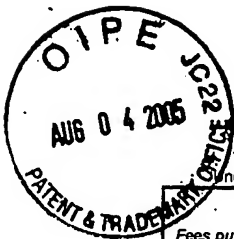
1. ☒ This is a **FIRST** submission of items concerning a submission under 35 U.S.C. 371.
2. ☐ This is a **SECOND** or **SUBSEQUENT** submission of items concerning a submission under 35 U.S.C. 371.
3. ☒ This is an express request to begin national examination procedures (35 U.S.C. 371 (f)). The submission must include items (5), (6), (9) and (21) indicated below.
4. ☐ The US has been elected (Article 31).
5. ☒ A copy of the International Application as filed (35 U.S.C. 371 (c)(2))
 - a. ☒ is attached hereto (required only if not communicated by the International Bureau).
 - b. ☒ has been communicated by the International Bureau.
 - c. ☐ is not required, as the application was filed in the United States Receiving Office (RO/US).
6. ☒ An English language translation of the International Application as filed (35 U.S.C. 371 (c)(2)):
 - a. ☒ is attached hereto.
 - b. ☐ has been previously submitted under 35 U.S.C. 154(d)(4).
7. ☒ Amendments to the claims of the International Application under PCT Article 19 (35 U.S.C. 371 (c)(3))
 - a. ☐ are attached hereto (required only if not communicated by the International Bureau).
 - b. ☐ have been communicated by the International Bureau.
 - c. ☐ have not been made; however, the time limit for making such amendments has NOT expired.
 - d. ☒ have not been made and will not be made.
8. ☐ An English language translation of the amendments to the claims under PCT Article 19 (35 U.S.C. 371 (c)(3)).
9. ☒ An oath or declaration of the inventor(s) (35 U.S.C. 371 (c)(4)).
10. ☐ An English language translation of the annexes to the International Preliminary Examination Report under PCT Article 36 (35 U.S.C. 371 (c)(5)).

Items 11 to 20 below concern document(s) or information included:

11. ☒ An Information Disclosure Statement under 37 CFR 1.97 and 1.98.
12. ☒ An assignment document for recording. A separate cover sheet in compliance with 37 CFR 3.28 and 3.31 is included.
13. ☐ A preliminary amendment.
14. ☐ An Application Data Sheet under 37 CFR 1.76.
15. ☐ A substitute specification.
16. ☐ A power of attorney and/or change of address letter.
17. ☐ A computer-readable form of the sequence listing in accordance with PCT Rule 13ter.2 and 37 CFR 1.821 - 1.825.
18. ☐ A second copy of the published International Application under 35 U.S.C. 154(d)(4).
19. ☐ A second copy of the English language translation of the international application under 35 U.S.C. 154(d)(4).
20. ☒ Other items or information: Return Receipt Postcard

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U.S. APPLICATION NO. _____		INTERNATIONAL APPLICATION NO. PCT/JP03/07170		ATTORNEY'S DOCKET NUMBER 62940(70904)									
21. The following fees are submitted: <input checked="" type="checkbox"/> a) Basic national fee\$300.00 <input checked="" type="checkbox"/> b) Examination fee\$200.00 <input checked="" type="checkbox"/> c) Search fee\$500.00 TOTAL OF ABOVE CALCULATIONS = \$1000.00 <input type="checkbox"/> Additional fee for specification and drawings filed in paper over 100 sheets (excluding sequence listing or computer program listing filed in an electronic medium). The fee is \$250 for each additional 50 sheets of paper or fraction thereof. <table border="1" style="width: 100%; border-collapse: collapse;"> <tr> <th>Total Sheets</th> <th>Extra sheets</th> <th>Number of each additional 50 or fraction thereof (round up to a whole number)</th> <th>RATE</th> </tr> <tr> <td>47 - 100 =</td> <td>/50 =</td> <td></td> <td>x \$250.00</td> </tr> </table>				Total Sheets	Extra sheets	Number of each additional 50 or fraction thereof (round up to a whole number)	RATE	47 - 100 =	/50 =		x \$250.00	Applicant Use	Office Use Only
				Total Sheets	Extra sheets	Number of each additional 50 or fraction thereof (round up to a whole number)	RATE						
				47 - 100 =	/50 =		x \$250.00						
				\$	300.00								
				\$	200.00								
\$	500.00												
				\$	1,000.00								
Surcharge of \$130.00 for furnishing the oath or declaration later than 30 months from the earliest claimed priority date (37 CFR 1.492 (e)).				\$									
CLAIMS		NUMBER FILED	NUMBER EXTRA	RATE									
Total claims		11 - 20 =		x	\$	0.00							
Independent claims		1 - 3 =		x	\$	0.00							
MULTIPLE DEPENDENT CLAIM(s) (if applicable)				+	360.00	\$ 360.00							
TOTAL OF ABOVE CALCULATIONS =					\$	1,360.00							
<input type="checkbox"/> Applicant claims small entity status. See 37 CFR 1.27. The fees indicated above are reduced by 1/2.					\$								
SUBTOTAL =					\$	1,360.00							
Processing fee of \$130.00 for furnishing the English translation later than 30 months from the earliest claimed priority date (37 CFR 1.492 (f)).				+	\$								
TOTAL NATIONAL FEE =					\$	1,360.00							
Fee for recording the enclosed assignment (37 CFR 1.21 (h)). The assignment must be accompanied by an appropriate cover sheet (37 CFR 3.28, 3.31). \$40.00 per property				+	\$	40.00							
TOTAL FEES ENCLOSED =					\$	1,400.00							
Amount to be refunded:					\$								
Amount to be charged:					\$								
a. <input type="checkbox"/> A check in the amount of \$ _____ to cover the above fees is enclosed. b. <input checked="" type="checkbox"/> Please charge my Deposit Account No. <u>04-1105</u> in the amount of \$ <u>1,400.00</u> to cover the above fees. A duplicate copy of this sheet is enclosed. c. <input checked="" type="checkbox"/> The Commissioner is hereby authorized to charge any additional fees which may be required, or credit any overpayment to Deposit Account No. <u>04-1105</u> . A duplicate copy of this sheet is enclosed. d. <input type="checkbox"/> Fees are to be charged to a credit card. WARNING: Information on this form may become public. Credit card information should not be included on this form. Provide credit card information and authorization on PTO-2038.													
NOTE: Where an appropriate time limit under 37 CFR 1.495 has not been met, a petition to revive (37 CFR 1.137 (a) or (b)) must be filed and granted to restore the International Application to pending status.													
SEND ALL CORRESPONDENCE TO: George W. Neuner EDWARDS & ANGELL, LLP P.O. Box 55874 Boston, Massachusetts 02205 (617) 439-4444 CUSTOMER NUMBER: 21874													
				 SIGNATURE George W. Neuner NAME									
				26,964 REGISTRATION NUMBER									



PTO/SB/17 (12-04v2)
Approved for use through 7/31/2006. OMB 0651-0032
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Effective on 12/08/2004.
Fees pursuant to the Consolidated Appropriations Act, 2005 (H.R. 4818).

FEE TRANSMITTAL For FY 2005

☐ Applicant claims small entity status. See 37 CFR 1.27

TOTAL AMOUNT OF PAYMENT (\$)
1,400.00

Complete if Known

Application Number	Not Yet Assigned
Filing Date	Concurrently Herewith
First Named Inventor	Takaya Nakabayashi
Examiner Name	Not Yet Assigned
Art Unit	N/A
Attorney Docket No.	62940(70904)

METHOD OF PAYMENT (check all that apply)

☐ Check ☐ Credit Card ☐ Money Order ☐ None ☐ Other (please identify): _____
☒ Deposit Account Deposit Account Number: 04-1105 Deposit Account Name: Edwards & Angell, LLP

For the above-identified deposit account, the Director is hereby authorized to: (check all that apply)

☒ Charge fee(s) indicated below ☐ Charge fee(s) indicated below, except for the filing fee
☒ Charge any additional fee(s) or underpayment of fee(s) under 37 CFR 1.16 and 1.17 ☒ Credit any overpayments

FEE CALCULATION

1. BASIC FILING, SEARCH, AND EXAMINATION FEES

Application Type	FILING FEES		SEARCH FEES		EXAMINATION FEES		Fees Paid (\$)
	Fee (\$)	Small Entity Fee (\$)	Fee (\$)	Small Entity Fee (\$)	Fee (\$)	Small Entity Fee (\$)	
Utility	300	150	500	250	200	100	
Design	200	100	100	50	130	65	
Plant	200	100	300	150	160	80	
Reissue	300	150	500	250	600	300	
Provisional	200	100	0	0	0	0	

2. EXCESS CLAIM FEES

Fee Description	Fee (\$)	Small Entity Fee (\$)
Each claim over 20 (including Reissues)	50	25
Each independent claim over 3 (including Reissues)	200	100
Multiple dependent claims	360	180

Total Claims 11 - 20 = 9 x Fee (\$)

Indep. Claims 1 - 3 = 0 x Fee (\$)

Multiple Dependent Claims
Fee (\$)

3. APPLICATION SIZE FEE

If the specification and drawings exceed 100 sheets of paper (excluding electronically filed sequence or computer listings under 37 CFR 1.52(e)), the application size fee due is \$250 (\$125 for small entity) for each additional 50 sheets or fraction thereof. See 35 U.S.C. 41(a)(1)(G) and 37 CFR 1.16(s).

Total Sheets 47 - 100 = 37 / 50 Number of each additional 50 or fraction thereof (round up to a whole number) x Fee (\$)

4. OTHER FEE(S)

Non-English Specification, \$130 fee (no small entity discount)
Other (e.g., late filing surcharge):
1631 Basic National Stage fee 300.00
1632 National Stage search fee 500.00
1633 National Stage examination fee 200.00
8021 National Stage recording each patent assignment, ... 40.00
1616 National Stage claims - multiple dependent 360.00

SUBMITTED BY			
Signature		Registration No. (Attorney/Agent)	26,964
Name (Print/Type)	George W. Neuner	Telephone	(617) 439-4444
		Date	February 24, 2005



Docket No. 62940 (70904)

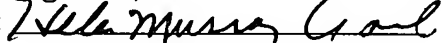
IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

APPLICANT: Nakabayashi, et al. EXAMINER: Not assigned
U.S.S.N. 10/525,901 ART UNIT: 2811
FILED: February 24, 2005 CONF. NO. 9196
FOR: Pattern formation substrate and method for pattern formation

Commissioner for Patents
P.O. Box 1450
Alexandria, VA 22313-1450

CERTIFICATE OF MAILING

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By: 
Helen Murray Tarbi

REQUEST FOR CORRECTED FILING RECEIPT

1. There is an error with respect to the following data, which is:

☒ incorrectly entered

and/or

☐ omitted.

Error in

Correct data

1. ☐ Applicant's name
2. ☐ Applicant's address
3. ☒ Title
4. ☒ Filing Date
5. ☐ Application Number
6. ☐ Priority Data

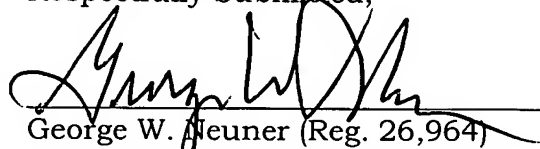
- 1.
- 2.
3. **pattern formation substrate and method
for pattern formation**
4. **February 24, 2005**
- 5.
- 6.

2. *(complete the following applicable item)*

A. ☒ The correction(s) is/are not due to any error by applicant.

August 1, 2005
Date

Respectfully Submitted,

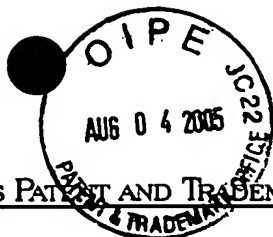

George W. Neuner (Reg. 26,964)
EDWARDS & ANGELL, LLP
P.O. Box 55874
Boston, MA 02205
(617) 439-4444

Customer No.: 21874

DGC/GWN
62940(70904)



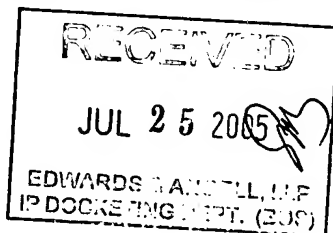
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APPL NO.	FILING OR 371 (c) DATE	ART UNIT	FIL FEE REC'D	ATTY. DOCKET NO	DRAWINGS	TOT CLMS	IND CLMS
10/525,901	02/25/2005 2/24/05	2811	1260	62940(70904)	18	8	1

21874
EDWARDS & ANGELL, LLP
P.O. BOX 55874
BOSTON, MA 02205



CONFIRMATION NO. 9196
FILING RECEIPT
OC000000016528224

Date Mailed: 07/18/2005

Receipt is acknowledged of this regular Patent Application. It will be considered in its order and you will be notified as to the results of the examination. Be sure to provide the U.S. APPLICATION NUMBER, FILING DATE, NAME OF APPLICANT, and TITLE OF INVENTION when inquiring about this application. Fees transmitted by check or draft are subject to collection. Please verify the accuracy of the data presented on this receipt. If an error is noted on this Filing Receipt, please mail to the Commissioner for Patents P.O. Box 1450 Alexandria Va 22313-1450. Please provide a copy of this Filing Receipt with the changes noted thereon. If you received a "Notice to File Missing Parts" for this application, please submit any corrections to this Filing Receipt with your reply to the Notice. When the USPTO processes the reply to the Notice, the USPTO will generate another Filing Receipt incorporating the requested corrections (if appropriate).

Applicant(s)

Takaya Nakabayashi, Ayama-gun, JAPAN;
Akiyoshi Fujii, Nara-shi, JAPAN;

NOTED ON SYSTEM

Power of Attorney: The patent practitioners associated with Customer Number 21874.

Domestic Priority data as claimed by applicant

This application is a 371 of PCT/JP03/07170 06/05/2003

Foreign Applications

Projected Publication Date: 10/20/2005

Non-Publication Request: No

Early Publication Request: No

Title

Pattern formation substrate and method of pattern formation

Preliminary Class

FOR

Corrected Filing Receipt
Edwards & Angell LLP
101 Federal St. Boston, MA 02110
Docketed For 8/2/05-8/17/05
By [Signature]
Approved [Signature]

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Since the rights granted by a U.S. patent extend only throughout the territory of the United States and have no effect in a foreign country, an inventor who wishes patent protection in another country must apply for a patent in a specific country or in regional patent offices. Applicants may wish to consider the filing of an international application under the Patent Cooperation Treaty (PCT). An international (PCT) application generally has the same effect as a regular national patent application in each PCT-member country. The PCT process **simplifies** the filing of patent applications on the same invention in member countries, but **does not result** in a grant of "an international patent" and does not eliminate the need of applicants to file additional documents and fees in countries where patent protection is desired.

Almost every country has its own patent law, and a person desiring a patent in a particular country must make an application for patent in that country in accordance with its particular laws. Since the laws of many countries differ in various respects from the patent law of the United States, applicants are advised to seek guidance from specific foreign countries to ensure that patent rights are not lost prematurely.

Applicants also are advised that in the case of inventions made in the United States, the Director of the USPTO must issue a license before applicants can apply for a patent in a foreign country. The filing of a U.S. patent application serves as a request for a foreign filing license. The application's filing receipt contains further information and guidance as to the status of applicant's license for foreign filing.

Applicants may wish to consult the USPTO booklet, "General Information Concerning Patents" (specifically, the section entitled "Treaties and Foreign Patents") for more information on timeframes and deadlines for filing foreign patent applications. The guide is available either by contacting the USPTO Contact Center at 800-786-9199, or it can be viewed on the USPTO website at <http://www.uspto.gov/web/offices/pac/doc/general/index.html>.

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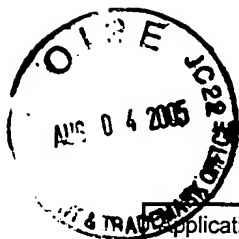
The applicant has been granted a license under 35 U.S.C. 184, if the phrase "IF REQUIRED, FOREIGN FILING LICENSE GRANTED" followed by a date appears on this form. Such licenses are issued in all applications where the conditions for issuance of a license have been met, regardless of whether or not a license may be required as set forth in 37 CFR 5.15. The scope and limitations of this license are set forth in 37 CFR 5.15(a) unless an earlier license has been issued under 37 CFR 5.15(b). The license is subject to revocation upon written notification. The date indicated is the effective date of the license, unless an earlier license of similar scope has been granted under 37 CFR 5.13 or 5.14.

This license is to be retained by the licensee and may be used at any time on or after the effective date thereof unless it is revoked. This license is automatically transferred to any related applications(s) filed under 37 CFR 1.53(d). This license is not retroactive.

The grant of a license does not in any way lessen the responsibility of a licensee for the security of the subject matter as imposed by any Government contract or the provisions of existing laws relating to espionage and the national security or the export of technical data. Licensees should apprise themselves of current regulations especially with respect to certain countries, of other agencies, particularly the Office of Defense Trade Controls, Department of State (with respect to Arms, Munitions and Implements of War (22 CFR 121-128)); the Office of Export Administration, Department of Commerce (15 CFR 370.10 (j)); the Office of Foreign Assets Control, Department of Treasury (31 CFR Parts 500+) and the Department of Energy.

NOT GRANTED

No license under 35 U.S.C. 184 has been granted at this time, if the phrase "IF REQUIRED, FOREIGN FILING LICENSE GRANTED" DOES NOT appear on this form. Applicant may still petition for a license under 37 CFR 5.12, if a license is desired before the expiration of 6 months from the filing date of the application. If 6 months has lapsed from the filing date of this application and the licensee has not received any indication of a secrecy order under 35 U.S.C. 181, the licensee may foreign file the application pursuant to 37 CFR 5.15(b).



Application No. (if known): Not Yet Assigned

Attorney Docket No.: 62940(70904)

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Registration Number, if applicable

(617) 439-4444
Telephone Number

Note: Each paper must have its own certificate of mailing, or this certificate must identify each submitted paper.

Fee Transmittal (1 page)
English language translation of the International application
Oath or declaration of the inventor(s)
Information Disclosure Statement
Assignment document for recording
Transmittal Letter to the United States Designated-Elected Office (2 pages)
Charge \$1,400.00 to deposit account 04-1105



Atty Docket No.: 62940(70904)

Inventor: Takaya Nakabayashi et al.

Application No.: Not Yet Assigned

Filing Date: Concurrently Herewith

Title: PATTERN FORMATION SUBSTRATE AND METHOD FOR PATTERN FORMATION

Documents Filed:

Fee Transmittal (1 page)

Charge \$1,400.00 to deposit account 04-1105

English language translation of the International application

Oath or declaration of the inventor(s)

Information Disclosure Statement

Assignment document for recording

Transmittal Letter to the United States Designated-Elected Office (2 pages)

Certificate of Express Mailing (1 page)

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Sender's Initials: GWN/hmt

Date: February 24, 2005

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GWN 62940 (70904)